



Defining the Health and Safety
Responsibilities between the
Physics Department
and the X-Ray Diffraction, Spectroscopy,
Electron Microscopy, Warwick Centre for
Ultrafast Spectroscopy, Scientific
Computing and X-Ray Photoemission
Spectroscopy RTPs

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1. Parties to the Agreement

This document serves to clarify health and safety responsibilities between the Physics Department ("the Department") and the X-Ray Diffraction (XRD), Spectroscopy, Electron Microscopy (EM), Warwick Centre for Ultrafast Spectroscopy (WCUS) and X-Ray Photoemission Spectroscopy (XPS) Research Technology Platforms ("the RTPs") at the University of Warwick.

2. Objectives

- a) The objective of this document is to formalise the roles and responsibilities by both the Department and the RTPs at the University of Warwick in relation to health and safety and statutory compliance.
- b) This document should be used as the benchmark for any review meetings if required and if necessary, to be used to formalise modifications to the provisions of the service(s) offered by the Department.
- c) Neither the Department nor RTPs shall make any unilateral amendments to this document without joint consultation and agreement.

3. Documentation

This document is formed from the following health and safety related documentation:

- a) The University Health and Safety Policy and the latest version of the 'Leadership & Management of Health and Safety at the University of Warwick' document available from the webpage [Health and Safety Policy \(warwick.ac.uk\)](https://www.warwick.ac.uk/healthandsafety)
- b) Physics Department [Health and Safety Policies & Arrangements](#)
- c) Research Technology Platform [Health and Safety Policy & Arrangements](#)

4. Duration and Review

This document shall take effect from August 2024 as a basis prior to initial approval, reviewed annually and will remain in force formally from date of approval for as long as there remains a relationship between the Department and RTPs. After initial review after 6 months this document will be revisited by the Departments and RTP annually to ensure it is fit for the purpose, with update and approval of changes in writing when necessary.

5. Budgets associated with responsibilities.

The Department and RTPs will budget for the activities that they are responsible for, as set out within this document.

Should there be any additional requirement that has not been budgeted for that arises outside the scope of this document, then both parties must agree how that requirement will be delivered and agree how it will be paid for. Any ongoing provisions should be reflected in a revision to this document.



6. Areas

The spaces currently occupied by the RTPs are listed in Appendix 1.

7. Key Personnel

A list of key personnel from both the Department and the RTPs, their work contact numbers, and email addresses can be found in Appendix 2.

8. Scope

This is an agreement which defines the health and safety responsibilities between the Department and the RTPs. It covers the training and activities of all staff, students and visitors (“personnel”).

It should be noted that all relevant University policies and Codes of Practice will still apply. For shared spaces the requirements would be equal for all staff regardless the department.

For the purpose of the BSI audit the Physics department and RTPs are considered separate entities.

9. RTP Personnel

All personnel must complete mandatory university training and any local induction training. Line managers/supervisors are responsible for ensuring completion of mandatory training before any lab work is commenced.

Laboratory access will not be granted until this has been completed.

All RTP staff/students/visitors must be trained and/or experienced to carry out their work (or be under the supervision of a trained person), so that the RTP’s work activities do not pose a risk to other lab or space users, the Department’s own staff/students, Estates staff, or to contractors who may need to enter the space in order to carry out work on behalf of either the Department, the RTP or Estates.

Personnel leaving the University must follow the University [HR leavers process](#) and any local processes that have been defined within the RTP and/or the Department. It will be the responsibility of the RTP Managers to ensure that any procured hazardous materials or equipment are effectively handed over to ‘responsible others’ within their respective RTP prior to leaving (both physically and by ensuring electronic records are updated). The responsible person for hazardous material must be updated on the LabCup.

All staff, and their visitors, must keep their identity badges on their person at all times.

10. Representation of RTPs on Physics Health and Safety Committee

The RTPs will provide representatives to join the Physics Health and Safety Committee who will attend and actively participate in discussions relating to health and safety.



11. Risk assessments

The RTP Managers shall ensure that risk assessments are in place for any work that poses a risk and that there are sufficient arrangements in place for managing both normal and abnormal situations, including emergencies that could arise from their work.

12. Emergency arrangements and first aid

University guidance will be followed to ensure sufficient numbers of qualified first aiders in all buildings, listed at [Qualified First Aid Staff by Building/Department](#) webpages.

Consideration should be paid to the provision of specialist first aid and whether there is sufficient cover within the Department to permit them to extend cover to the RTPs, or as to whether any staff from within the RTPs themselves should be trained in first aid. The Community Safety team can provide first aid too, however any need for specialised first aid provision must be covered by individual RTP should these requirements arise from RTP activities.

All staff associated with each RTP must be trained to understand the local emergency arrangements related to their own respective space(s) and own activities, and more generally related to the Department or site where they work. The responsibility of ensuring that all RTP staff have received such training will be the responsibility of the respective RTP Manager.

Should RTP staff need to work in alternative work locations, the responsibility for ensuring that RTP staff receive a local induction will fall to the RTP Manager.

13. Contractors

All departments of the University must follow the University of Warwick Contractor Policy at all times. The Contractors policy and other information relevant for Contractor Engagement Process are contained on the central H&S [Contractors webpage](#), including the required minimum insurance level required.

The contractor will always remain the responsibility of the appointing department (i.e. the Departments or RTP or Estates). The responsibility for maintaining documentation relating to the engagement of contractors will remain with the respective appointing person. All contracted personnel must receive an appropriate induction. Where a contractor is working in another location, occupied by another department, then a further local induction may be required (this would be particularly relevant to the more hazardous spaces) and arrangements to facilitate that must be made by the appointing department. The appointing department will be responsible for ensuring that appropriate site-specific risk assessments and method statements are in place which cover the work activities required. Should a [permit](#) be required the appointing department will be responsible for ensuring that these are acquired and agreed with Estates prior to work commencing.

Below is an outline of where responsibilities lie when contractors are engaged by one department but may be required to carry out work in another.

13.1 Contractors appointed by Estates

The Estates have their own arrangements for appointing contractors, and they follow their own procurement processes. Where there is known work to take place within the Physics



department, which includes a space occupied by an RTP, the RTP Manager will be notified via Physics department so far as is reasonably practicable.

The RTP Manager and the Technical Services Manager (TSM) will be jointly responsible for sharing any hazard related information relating to the spaces concerned with Estates during the planning stage, so that this can be taken into account by their appointed contractor. Whilst the Estates may be responsible for the management of the contractors conducting the work, any necessary local inductions will need to be coordinated and conducted (as required), by the Department/RTP where the work is going to be carried out. The responsibility for these must be agreed at the planning stage. If the work is solely to be conducted in an RTP space, then the responsibility for this will fall to the RTP Manager. The RTP and Department will notify each other of any works in their spaces that are likely to have a wider impact outside of their own allocated footprint.

13.2 Contractors appointed by the Department

The Physics department has its own H&S validation process in place in line with [Contractor Engagement Process](#). When contractor appointed by Physics department is required to access a space occupied by an RTP, the Department will make suitable arrangements with the RTP Manager for the work to be completed at a time when there is least impact in so far as is practicable.

The RTP has a responsibility to share any hazard related information that could have an impact on the work and shall engage with the Department to ensure that this relevant information is provided in advance to permit their contractor to develop their own risk assessments/method statements (RAMS) related to their activities.

Relevant documentation such as RAMS related to any work to be conducted within an RTP space shall be shared by the TSM with the RTP Manager prior to the work being carried out. An agreement as to who will take responsibility for the delivery of an induction must be made during the planning stage, so it is clear who will provide this when the contractors arrive on site.

13.3 Contractors appointed by the RTP

The RTP will carry out their own H&S validation process to deem any contractor competent that they need to bring onto university premises. This will need to include other checks that are required, such as insurance coverage.

All documentation must be held locally to demonstrate that the [University of Warwick Contractors policy](#) has been followed. The RTP Manager will also be responsible for ensuring that the relevant documents demonstrating H&S validation of contractor has been conducted are uploaded to the OPeRA e-procurement system when placing a requisition for use of that contractor, (for instance, screen shot of SSiP membership in date, valid insurance certificate, RAMS). This should prevent unvalidated contractors from being used and should permit the requisition to be approved in the system. Should the contractor need to access other space(s) occupied by the Department, liaison by the RTP Manager will be made with the Department prior to the work so that suitable access can be arranged and relevant health and safety related information can be exchanged during the planning stage as appropriate.

The RTP Manager will be responsible for ensuring that relevant health and safety information has been provided to their contractor in advance, that suitable RAMS have been supplied that capture how any risks arising from the contractor's work will be mitigated, for arranging relevant access, for conducting inductions on site and for contractor monitoring whilst the work takes place, including making sure that they leave the space in a safe condition upon their departure.



14. Suitability of the Space to Conduct Work

The RTP Managers will be responsible for ensuring that the RTP space(s) are suitable for the type of work to be conducted. Any modifications required will be at the cost of the respective RTP and at the discretion of others as required under relevant University policies and procedures. If any RTP plans to introduce changes to its work which may impact Departmental activities, it will consult with the relevant Department (and Estates where required) before making such changes.

15. Hazard Information & Lab Noticeboards

The RTP Managers or Directors, as 'space owners' will be responsible for completion of their own [lab noticeboard](#) for the spaces that they work out of and for updating the Warwick Hazard Management System with hazard information that accurately reflects what is being stored, used, handled, etc. in each space that they occupy. As a minimum, this information shall be checked by RTP Manager/space owner every two years or be updated upon a significant change. Lab noticeboards must be displayed on entrance doors to any hazard space and also uploaded to the Warwick Hazard Management system to permit remote access by Community Safety if required in an emergency. For shared labs the noticeboard should list principal investigators from all departments. Any emergency arrangements relevant to the space shall also be on display/available locally and can also be uploaded to this system if required.

RTP Managers or Directors (or their nominated representatives) who require access to Warwick Hazard Management System shall request access via [Health and Safety Services](#) 'Ask for Advice' or via HealthandSafetyAdmin@warwick.ac.uk.

16. Hazardous materials

The RTP Managers are responsible for ensuring that they approve any materials brought into their own specific space(s), whether that be via the OPeRA e-procurement system, or via other means, and that the materials are delivered in a safe condition, with all relevant warning signage and packaging as required under several pieces of health and safety statute in so far as is reasonably practicable.

The RTP department (as a whole) is Top-tiering the requisitions for chemicals ordering submitted by RTP staff. The host Department can provide support for the temporary storage of materials being purchased or acquired by the RTPs if delivered directly to Physics Stores.

It will be the RTP's responsibility to ensure that anything requiring specific storage or handling requirements are discussed and agreed with the Physics Stores Manager prior to its arrival. Such requirements will be accommodated where practicable.

On collection, it will be the RTP Manager's responsibility to ensure that the materials are stored safely and if required, securely, and that relevant information is collated into a chemical inventory, as applicable. The RTP Managers will also be responsible for ensuring that their hazardous materials are barcoded and stored as per the laboratory arrangements within LabCup. The inventory will need to be updated as chemicals come in and out of each space and complemented by an annual stock check.

The RTP Managers will ensure there are suitable storage facilities for any hazardous materials, that the materials can be used safely, that the relevant engineering controls are in place and that there is already a waste stream available to them. The RTP Manager is responsible for checking prior to their introduction that the material(s) being introduced to the space can be safely handled



and disposed of via the Physics waste stream following the processes managed by Physics Technical Services (see [Health and Safety webpages](#)). For hazardous waste disposal, RTP Managers must check the process managed by the person responsible for the Physics External Chemical Store (01.043.000.002), P3 adjacent to the Physics Department Yard. Without the waste stream in place, the material(s) must not be introduced until it can be confirmed that it will be possible to have it accommodated.

Material received from external companies, for instance material sent for analysis, should be preferably returned to the external company unless waste disposal arrangements have been agreed upon before accepting material for analysis. The RTP Managers shall ensure that all RTP personnel are suitably trained and competent in the waste procedures to ensure that RTP waste is properly streamed via the Department's own waste arrangements.

Any waste disposed via Chemistry waste stream can happen only after discussing this in advance with the Technical Services Manager in the Department of Chemistry. Any cost included, e. g. the cost of waste containers and the cost of waste disposal services, must be agreed prior to service starting and fully met by RTP.

Any hazardous materials introduced will be the responsibility of the RTP Managers to manage and oversee, to ensure that the health and safety of those working with that material is not compromised. If the material introduced through the work of the RTPs could damage or contaminate RTP equipment or space, any remediation will be at the cost of the respective RTP.

All hazardous materials used will be subject to risk assessment as per any other work activity. In a shared Department and RTP space, the space owners (Department and RTP) will have the right to refuse to permit hazardous materials to be used, handled, or stored within the space which has not been subject to risk assessment, the relevant approvals being in place, and deemed safe.

The RTP Managers will be responsible for ensuring that sufficient arrangements are in place for what would be considered 'normal' operations as well as emergency arrangements in connection with the work that takes place within their own space(s). Emergency arrangements could include (but is not limited to) gas detection and alarms, arrangements for evacuation and/or emergency shutdown, first aid and spillage management for example and any associated training required for staff and others using the spaces as appropriate. Any emergency arrangements that could impact wider than just the RTP's spaces shall be fed into the local emergency management arrangements for the respective building via consultation with the relevant Department.

Should special first aid arrangements be required, it shall be the responsibility of the RTP Managers to ensure that this is in place. Should there not be the required First Aid skills available, the RTP Managers will be responsible for ensuring that they have the acquired skills and equipment required to manage the risks, as per any other risk introduced by their work. First aiders will be responsible for re-stocking the general First Aid boxes available to First Aiders. In MASB building the first aid boxes and plaster dispensers are restocked by Chemistry Technical team. All eyewash bottles and any other special provisions required to deal with an emergency within the RTP facility, including any specialist first aid response kits, equipment (and any associated training) will fall to the RTP to routinely check and replenish/update within their own demise. The RTP will be responsible for arranging and managing any specialist first aid training. A trained first aider must then always be available when the related risk could be realised.

The Department has a stock of spill kits for general spills that could arise around the various laboratory and workshop areas. These will be redistributed across the Department after the spillage training is completed by spillage-response personnel. The Department will be responsible for replenishing these routinely and as stock is used. Should there be a requirement for anything more specific to be introduced related to the work of the RTP, then the RTP will be responsible for



their introduction and replenishment. Should any stocks be utilised, and the existing stock appears to be low, then the requisite responsible person should be informed so that the kits can be restocked.

17. Laboratory Equipment

The Department will provide support in relation to elements of the workflow (where required) in the OPeRA e-procurement system during the purchasing of laboratory equipment and consumables and in relation to the temporary storage of items purchased by the RTPs prior to their collection from Physics Stores.

A good level of communication must be maintained between Physics stores and RTP personnel ordering any equipment and other materials. Physics stores staff will inform RTP staff (ordering personnel) about incoming deliveries as soon as it is practicable. Large equipment must be promptly collected from 'Goods in' space. If items being delivered are heavy, they should only be moved by someone with appropriate lifting training. If large items require unloading in the Physics goods yard, then prior warning should be given to staff with required training to operate the small forklift. The department will not accept any responsibility for any loss or damage to equipment pending collection. Any specific requirements for storage of laboratory equipment must be communicated between Physics stores and those ordering items in advance. Any deliveries outside the goods in normal operating times or deliveries that the Department did not receive adequate notice of delivery will risk being turned away. In these instances, the Department will not be liable for any associated charge for redelivery.

The RTP Managers will be responsible for managing laboratory equipment within their RTP and for maintaining their own asset register in line with [Financial Procedure 19 Fixed assets](#).

The RTP Managers will be responsible for ensuring that their laboratory equipment remains safe for use and for taking out of use any equipment that is not deemed safe. Maintenance and calibration decisions of laboratory equipment owned directly by the RTPs will be the responsibility of the RTPs.

There will need to be clear arrangements to ensure that the responsibility for the management and maintenance of 'joint' or 'shared' equipment is in place prior to it being put into use. Where necessary a joint asset list should be drawn up and added to the Appendix within this Responsibilities Document.

Asset tagging for other reasons (financial or grant requirement) will be the responsibility of the Department. The RTP Managers will need to inform the Technical Services Manager/Compliance Officer of any new item requiring such tagging other than those which have already been asset tagged by Stores/IT Services.

17.1 Access Equipment / Ladders and Stepladders

The RTP Managers will be responsible for recording any access equipment required for their own RTP. The RTP Manager will be responsible for ensuring pre-use checks of the equipment and for ensuring that an annual check has been completed. An annual check of ladders and stepladders used by RTPs is carried out by the Department. At this time, suitable inspection tags shall be affixed to the access equipment or will be filled out (similar to those on the [Health and Safety Services Working at Height](#) webpages), which will indicate the date of the test and whether the item passed or failed. Items that fail an annual check will be quarantined by the Department, with the Department informing the respective RTP Manager as to whether the item



needs to be repaired or replaced. The RTP Manager will be responsible for informing the Department of any issues identified during a pre-use check. If the access equipment belongs to the RTP then the relevant RTP will be responsible for any repair or replacement costs.

17.2 Statutory Testing

The RTP Manager will be responsible for managing laboratory equipment within their RTP and for ensuring that all items subject to [statutory testing](#) are appropriately asset tagged. This will involve direct liaison with the Department's [Departmental Point of Contact](#) (DPoC) for statutory testing for any new items or ensuring that items which have been subject to an Estates project have been asset tagged as part of that project by Estates. The respective responsible person will be required to tag the new equipment first and then to log the new asset into the University's statutory testing register held in Estates. Any changes to the DPoC will be communicated to the RTP Managers.

The RTP Managers will be responsible for maintaining their own register of assets and for informing Estates via Physics Departmental Point of Contact or H&S Compliance officer of any need to add, relocate or remove items from the statutory testing register. This has to be done by using the [Statutory Inspection Report form \(SIRF\)](#) (warwick.ac.uk).

Equipment owned by any RTP should be tagged – PFxxxxxxxx.

Equipment owned by the Physics department are tagged – PXxxxxxxxx.

Equipment owned by Estates is tagged as EXxxxxxxxx.

This will ensure that the contractors involved in conducting the statutory testing are able to locate the item(s) during their visit or so that they do not look for an item that no longer exists.

The Department will be responsible for informing the RTP Manager of the dates when routine statutory examination and testing is due to take place upon receipt of information from Insurance Services and/or Estates.

Routine statutory examination and testing carried out across the Department via Estates will most often require coordination between the Department and RTPs. Under these circumstances, the Department will endeavour to make suitable arrangements with the RTPs for this work to be carried out at a time that is reasonable for both parties. If equipment requires urgent attention, then the responsibility will be for the RTP Managers to make suitable arrangements directly with the [Estates Compliance](#) team.

17.2.1 Local Exhaust ventilation

Local Exhaust Ventilation will be expected to be managed jointly by the Department and the RTP.

LEVs that have been added to the statutory test register will need to be subject to an annual statutory examination and test, known as Thorough Examination and Testing (TEt). This is carried out via an external contractor. All tested LEVs will have a statutory test sticker affixed, denoting whether the fume cupboard or other piece of local exhaust ventilation system has passed or failed its statutory test. It is the RTP Manager's responsibility to ensure that any item that has failed its statutory test is taken out of use and the repair is arranged without delay.

Reports of Thorough Examination and Testing (TEt) of LEVs are uploaded to the Estates SharePoint site currently and can be made available from the Estates



Mechanical Services Contracts Supervisor or from H&S Compliance Officer upon request.

Should any future LEV system introduced into RTP space be fitted with a recirculating filter, it will be the responsibility of the RTP Manager to ensure that the filters are changed when required. Their handling and disposal shall be arranged as per any other hazardous waste stream.

Pre-use checks of LEV systems within RTP spaces will be the responsibility of the RTP Managers to ensure that these are completed and to ensure that any defects are reported to Estates (and the equipment taken out of use immediately until a repair has been made). The RTP Managers will be responsible for ensuring that all lab users who need to use LEV within their space(s) are appropriately trained in their use, and in the requirements for pre-use checks and for reporting faults.

Monthly checks of LEV systems within the RTPs will be conducted by the Department Technical Services who will have received training to carry out this work. It is at the discretion of the Department as to whether a charge will be made for this service. The RTP Managers shall ensure that access to the space is provided to permit the monthly check to be completed. It will be the responsibility of the person conducting the monthly check to record that these checks have been done, and to notify the RTP Managers (or their designated representative) of any issues arising from these. The 'Out of use' sign has to be displayed in any situation where the LEV is deemed not to be working properly, and the RTP Managers will need to ensure that the system is not used until repaired. The RTPs will remain responsible for ensuring that the equipment is repaired through engagement with Estates or the 'health and safety validated' contractor as appropriate.

17.2.2 Lifting Equipment

Lifting equipment is currently examined and tested through the Statutory Inspections contract managed by Estates. The appointed contractor will only examine and test items which have been reported and logged onto the Statutory Testing Register.

Where notifications are given in advance in relation to test dates, the Department shall inform the RTP Manager(s) of the dates that the inspections will be taking place. It is the RTP Manager's responsibility to make equipment available for inspection in its recorded location or to inform DPoC about the current location of equipment to be inspected.

The inspecting Engineer will carry out the necessary examinations and tests upon arrival and will report any piece of statutory equipment that has failed its statutory test to a member of RTP staff prior to leaving the building wherever possible. This is so that the item can be taken out of use as soon as possible. Should this be reported to the Department, then efforts will be made by the Department to inform the RTP Manager(s) (or their nominated deputy) as early as possible so that the equipment can be isolated/quarantined by the RTP. Failed items as well as those that have passed will also be reported on the Green 2 portal

Green 2 portal is only accessible via the 'Departmental points of contact' which are generally representatives from within the Technical Services teams across the Science, Engineering and Medical Faculty (SEM). RTP Managers can be granted access if they complete the required training. Should training be required the RTP Manager should email EstatesCompliance@warwick.ac.uk. RTP assets are currently held on the



departmental schedules. Where RTP Managers do not have access to the system, the Department will be responsible for informing the RTPs on the outcome of their inspection and for updating the Green 2 portal with any action taken.

17.2.3 Statutory Consumables

Where applicable, the Department will be responsible for ensuring that consumables such as regulators, flashback arrestors, flexible hoses and any other consumable used as part of a gas delivery system within the RTP's space(s) are replaced at the required scheduled intervals. Any new items need to be registered by the RTP Manager using [SIRF form](#) noting the items have to be added to asset register only to ensure that their age/date of purchase is recorded and they are replaced at the required interval. Any costs associated with their replacement will fall to the respective RTP.

The RTP's will manage their own gas cylinders. Gas cylinders must be recorded on LabCup. Gas cylinders will be the responsibility of the RTP to replace and connect as required, with any staff involved having completed the required training.

Fire extinguishers (formal testing, re-charging and/or replacement) are managed via Estates. Should there be a need for an alternative provision other than what is provided, then the RTP Managers will provide a copy of their work activity risk assessment to the Fire Safety Adviser (Health and Safety Services) and if a new extinguisher is approved, shall make suitable arrangements with Estates for the relevant one(s) to be supplied.

17.3 Electrical Safety

17.3.1 Fixed Wiring

Fixed wiring condition surveys across all buildings are conducted by an Estates managed contractor via the Physics Department every 5 years. The Department will engage the relevant RTPs to advise when the contractor will be conducting the work, whether that be related to the testing or remedial work that follows. RTPs will be responsible for managing its activities to allow fixed wire testing in its spaces.

17.3.2 Portable Appliance Testing

Portable appliance testing will be coordinated by the Department on behalf of the RTPs.

The Department will make arrangements for PAT testing to take place as per University Policy ([Electrical Safety](#)) and will advise the RTPs when this work will be carried out and liaise directly with the RTP Managers to coordinate testing within their areas.

RTP Managers will be responsible for ensuring that RTP assets that require PAT testing are made available during the agreed test dates. The Department will retain a right to recoup any costs incurred associated with the RTPs assets having been included within their own PAT testing programme.

The contractors will affix a test label to each item upon passing the test. Any failed item within the RTPs will be the responsibility of the RTPs to take out of use and to seek repair/replacement. When failed items belonging to the RTPs are reported to the Department, the Department will inform the RTP Managers (or their nominated representative) as soon as reasonably practicable. Failed electrical items belonging to RTPs that will not be repaired must be disposed via WEEE waste stream and logged



via Resolve ticket raised for removal of WEEE waste. Cost for the removal of this waste would fall to the RTP.

17.4 Gas Delivery, Detection and Portable Monitoring

17.4.1 Gas Delivery Systems (part of infrastructure)

Bulk Storage

The Physics department owns two bulk storage tanks near the MASB – the liquid nitrogen ‘decant’ tank and tank storing liquid argon. The responsibility for maintaining and inspection these, including having the Written Scheme of Examination in place sits with the Department. This includes the responsibility for the infrastructure related to gas delivery systems from the bulk storage tank up to the point where whatever RTP equipment is connected to it. The Chemistry department has this responsibility for liquid nitrogen tank supplying the gaseous nitrogen to MASB.

A Written Scheme of Examination (WSE) is necessary for pressure systems containing relevant fluids at a pressure greater than 0.5 bar above atmospheric pressure. Relevant fluids include steam, gases, or any fluid in a state where its pressure and temperature could cause a danger. Access to relevant written schemes of examination can be made available to the RTP on request.

A breakdown of responsibilities can be found in the Code of Practice – Bulk Storage (Pressure systems) on [Pressure systems \(warwick.ac.uk\)](http://warwick.ac.uk) page.

Compressed Air

Estates are responsible for the inspections and maintenance of the compressed air delivery system up to the point where it reaches the isolation valve.

Gas Manifold Systems

The Physics department is responsible for the inspections and maintenance of their own gas manifolds systems (PXxxxxxxx assets).

XRD RTP is responsible for inspections and maintenance of gas manifold PF00000097 in MAS 3.12.

The Department is responsible for maintaining any gas delivery system from the point of isolation valve (where applicable) to the delivery location, but the responsibility for anything connected to it will fall to the person responsible for the space including the RTP Managers for RTP spaces. Information relating to the delivery systems, whether this be associated with gas or compressed air however can be requested via the Technical Services team and Estates, respectively.

Pressurised Dewars (Helium and Nitrogen)

All pressurised Dewars are registered as Physics assets – PXxxxxxxx. They are shared between Department and RTPs, where applicable. Their annual inspection and servicing are arranged by Department. WSEs and Inspection reports are available on request from Technical Services Manager or Compliance Officer.

17.4.2 Gas, smoke or flame detection systems (part of infrastructure)

Gas, smoke or flame detection systems that constitute part of the building infrastructure are the responsibility of the Estates to maintain and for those working in the buildings to check that these remain fully operational and to report faults, when these arise, to the [Estates Service desk](#).



The hard-wired oxygen depletion detection system that forms part of the infrastructure within the Materials and Analytical Sciences Building (MASB) is managed and maintained by the Chemistry Department. Access to relevant records relating to the above can be obtained via the Chemistry Department's Technical Services team upon request.

Separate units for oxygen depletion monitoring were installed in Physics building, in P1.50 and P1.52. Here, the RTP Manager is responsible for calibration and maintenance of these units.

Servicing of gas detection in Millburn House would be arranged by Physics department.

It is the responsibility of the RTP Managers to ensure that any spaces allocated for their use meet the requirements for the work that they wish to carry out. This includes checking that the gases or compressed air are delivered at the right pressure, or that the relevant gas detection or depletion monitoring devices are fitted, managed, and maintained (whether that be by Estates, the Department or the RTP) where required as an output from a work activity risk assessment.

Any fire suppression system installed as part of an Estates project will be the responsibility of Estates to maintain.

17.4.3 Portable Detection Devices

Any portable gas monitoring devices introduced as an additional control measure following a risk assessment by the RTPs will be the responsibility of the RTPs to manage and maintain. A record of these devices must be maintained by the RTP Managers, including details of what they detect, and when they need to be checked, tested, or replaced. Such a record should be made available to anyone else carrying out a work activity risk assessment in the space(s) and for inspection and auditing purposes.

18. Legionella/Water Quality Management

Estates are responsible for conducting legionella risk assessments (LRA) for all university owned buildings. The Department shall ensure that RTP spaces are brought to the attention of Estates at the time that the risk assessments are being completed/reviewed. This is to ensure that access can be obtained to RTP spaces and that any infrequently used outlets within the domain of the RTPs can be identified at that time. Note an infrequently used outlet is one that is not in regular use (i.e., not used at least once per week).

Outlets will be barcoded by Estates (EXxxxxxxx). It is the RTP Manager's responsibility to ensure that all outlets have been barcoded within their own space(s). Should a barcode be missing, the RTP Managers must engage with EstatesAssetTeam@warwick.ac.uk to make suitable arrangements for a barcode to be affixed.

Any requirement to flush an infrequently used outlet identified in a LRA in the research laboratory/workshop will be the responsibility of the Department to ensure that they are flushed routinely and that appropriate records are maintained using the template from the Estates Water Hygiene Manager. The Department shall upload this information for assurance purposes. Should the RTP Manager wish to have access to the uploaded records, access can be sought through the Estates Water Hygiene Manager.



Temperature checks of water systems will normally be arranged between Estates and the Department. Under these circumstances, the Department shall routinely engage with the RTP Managers to ensure that they are kept informed of any dates when this work will be carried out within RTP space(s).

Changes in the water usage within the RTPs space(s), whether no longer infrequently used, or no longer in use, must be reported to the Department's [Departmental Point of Contact](#), so that the water hygiene logbook can be altered to reflect the change. Any requirement to flush an outlet and maintain a record as part of the legionella water hygiene logbook will be the responsibility of the Department, so it is important that this communication is had by the RTP Manager.

Any infrastructure changes to the water systems in the space(s) must not be carried out without full consultation and agreement of the Department, the Estates Department and Water Hygiene Manager.

19. Ionising Radiation

University of Warwick H&S Policies on [Ionising Radiation](#) must be followed at all times. RTPs working with ionising radiation should have appointed Radiation Protection Supervisors (RPS), working alongside the senior RPS in Physics (currently John Duffy), who have the responsibility for ensuring compliance with the Ionising Radiation Regulations 2017 (IRR17). They are responsible for all X-ray instrument and/or radioactive sources in their laboratories and ensuring that the relevant and sufficient risk assessment and local rules are produced and that critical radiation exams are carried out as per the requirements set out in the regulations.

Those working with radiation sources must be trained prior to work starting. RTP Managers are responsible for keeping the records of trained personnel and for the records of the regular checks on the safety of the source and systems under their management (Safety interlocks, shielding, emergency stops...etc.) if any additional safety monitoring system or signage would have to be installed within the RTP spaces the cost of this will be met by RTP.

20. Non-Ionising Radiation

University of Warwick H&S Policies on [Non-ionising Radiation](#) must be followed at all times. RTP Manager are responsible for registering all Laser and broadband Artificial Optical Radiation sources, e. g. UV sources) in their laboratories. The relevant and sufficient Risk Assessment must be produced, and this must be submitted to HSRadiation@warwick.ac.uk with all supporting documentation (details of modification if applicable, maintenance and servicing schedule...etc.) when registering the radiation source.

Those working with radiation sources must be trained prior to work starting. RTP Managers are responsible for keeping the records of trained personnel and for the records of the regular checks on the safety of the source and systems under their management (safety interlocks, oxygen depletion sensors, PPE...etc.) If any additional safety monitoring systems would have to be installed within the RTP spaces the cost of this will be met by RTP.

21. Additions/ Deletions & amendments to the Schedule

Anything added to/deleted from this schedule must be agreed to by all parties. The summary schedule (Appendix 3) must be amended for all additions and/or deletions.



The Technical Services Manager from the Physics Department shall be the person responsible for amending the schedule once agreed and for sending a copy to the RTP Managers.

22. Cross-Charging Arrangements

Should there be a need for cross-charging to be made between the RTPs and the Department of Physics and/or Chemistry where applicable, then such arrangements will be agreed and documented at that time.

23. Dispute Resolution

In the event of any dispute between the RTPs and the Department, the initial route for resolution will be via the Director of Operations, Physics and the Director of Research Technology and Technical Strategy, (RTP). Each party will work to reach a mutually acceptable solution.



Appendix 1 - Spaces occupied by respective RTPs:

X-Ray Diffraction:

Materials & Analytical Sciences Building & Physics Building, Main Campus:

01.284.L02.013 (MAS 3.05) – 80%

01.284.L02.021 (MAS 3.10)

01.284.L02.030 (MAS 3.11)

01.284.L02.032 (MAS 3.12)

01.284.L02.037 (MAS 3.13)

01.284.L02.053 (MAS 3.02) – 50% RTP (office)

01.284.L02.049 (MAS 3.09) – 18% RTP (office space is shared between several RTPs, Physics and Chemistry)

01.284.000.044 (MAS 1.17)

01.042.000.026 (P1.64)

Spectroscopy:

Millburn House, Main Campus:

01.005.000.066 (G31)

01.005.000.030 (G30) – shared with Physics

01.005.000.051 (G78)

01.005.000.043 (G74) – shared with Physics

01.005.000.027 (G27) – RTP (office)

01.005.000.105 (A0.24) – RTP (office)

The RTP also occupies the mezzanine, which is locally called F55 (or MF 1.16), but which currently does not appear to have an Estates space reference attached to it. Access to this space is via the stairs within G78. (Shared with Physics.)

Electron Microscopy:

Materials and Analytical Sciences Building, Main Campus:

01.284.000.047 (MAS 1.14)

01.284.000.046 (MAS 1.15)

01.284.000.045 (MAS 1.16)

01.284.000.052 (MAS 1.18)



01.284.000.043 (MAS 1.20)

01.284.000.039 (MAS 1.21)

01.284.000.040 (MAS 1.22)

01.284.000.036 (MAS 1.23)

01.284.000.037 (MAS 1.24)

01.284.000.064 (MAS 1.06) – 19% (office space is shared between several RTPs, Physics and Chemistry)

Warwick Centre for Ultrafast Spectroscopy (WCUS):

Materials & Analytical Sciences Building, Main Campus:

01.284.L01.054 (MAS 2.11)

01.284.L02.028 (MAS 3.18) – 50% (shared with Physics)

01.284.L02.049 (MAS 3.09) – 18% RTP (office space is shared between several RTPs, Physics and Chemistry)

01.284.L02.013 (MAS 3.05) – 20%

Scientific Computing

Physical Sciences, Main Campus

01.007.000.024 (Comms/Machine Room next to PS0.16) Physical Sciences Building, Main Campus.

Photoemission Spectroscopy:

Physics building, Main Campus

01.042.000.033 (P1.52)

01.042.000.032 (P1.50)

01.042.L03.077 (P4.54)

01.042.000.031 (P1.54) – RTP (office)

Should any additional spaces become allocated to the RTPs, this document shall be reviewed to ensure that roles and responsibilities are again clarified.



Appendix 2 – Key Contact Details for the Department and RTPs

Names in bold – personnel acknowledging the document – documented via email response.

Department

Contact Name	Role	Contact Number	Email Address
Kevin Murphy	Technical Services & Facilities Manager, Physics	07824 541 152	Kevin.Murphy@warwick.ac.uk
Katherine Branch	Director of Operations, Physics	02476 150682	K.Branch@warwick.ac.uk
Stephanie Andrews-Brown	Health & Safety Officer, H&S Services	07341 072 431	Stephanie.Andrews-Brown@warwick.ac.uk
Keith Jewkes	Compliance Officer, Physics dept.	07720 719 413	K.Jewkes@warwick.ac.uk
Monika Prokešová	Compliance Officer, H&S services	07824 541 196	M.Prokesova@warwick.ac.uk

RTPs

Contact Name	Role	Contact Number	Email Address
Ian Hancox	Director of RTP Strategy	024 761 50380	I.Hancox@warwick.ac.uk
David Leadley	Head of RTP	024 765 24114	D.R.Leadley@warwick.ac.uk
David Walker	X-Ray Diffraction RTP Manager	024 761 51299	D.Walker.2@warwick.ac.uk
Ben Breeze	Spectroscopy RTP	024 765 72865 07384 231 344	B.Breeze.1@warwick.ac.uk
Stephen York	Electron Microscopy RTP Manager		S.J.York@warwick.ac.uk
Jack Woolley	WCUS RTP Manager		Jack.Woolley@warwick.ac.uk
Miguel Afonso Oliveira	SC RTP Manager	024 765 73545	Miguel-Afonso.Oliveira@warwick.ac.uk
Marc Walker	Photoemission RTP Manager	024 761 51776	M.Walker@warwick.ac.uk
Chris Waldron	Technical Support Specialist (Spectroscopy, Photoemission, X-Ray Diffraction RTP)		Christopher.Waldron@warwick.ac.uk



Appendix 3 – Schedule Summary – Responsibilities between the Department and RTPs

Host	Department (Physics)	Comments
	XRD, Spectroscopy, Electron Microscopy, WCUS, Scientific Computing, Photoemission Spectroscopy	
RTPs		

Compliance Area

Emergency Management / First Aid & Spills		Section 12 & 16
First Aiders	Department / RTP	First aiders organised by building and include RTP staff. Community Safety are also First Aiders.
First Aid Box and its replenishment	Department / RTP	The replenishment of first aid boxes will fall to local First Aiders.
Eye wash and other specific provisions. (Note that this could also include specific first aid response kits/equipment and associated training).	Department	RTP responsible for managing emergency scenarios related to the RTP activities. RTP responsible for adding and replacing any stocks that are used/beyond their use by date.
Spill Kit	Department	RTPs responsible for arranging and purchasing anything specific to the RTP activities.
Emergency Evacuation	RTP	RTPs responsible for ensuring RTP staff are trained in the local emergency evacuation arrangements associated with their respective space(s).



Contractors		Section 13
Contractor H&S validation	Department / RTP	Department to make arrangements with RTP. The Department will ask for this information if included in the OPeRA workflow at the ordering stage which will prevent unvalidated contractors being used.
Contractor visits (contractors managed via Estates)	Department / RTP	Department to inform RTPs of intended visits (where notified). RTP to manage access and to make space safe for any contractors requiring access their space(s)
Supply of local information and review of work RAMS (for RTP directly appointed contractors)	RTP	Where not at RTP level, information must be shared by the Department so that the RTP can manage the contractors on the day(s) of their contractor's site visits.
Supervision of contractors when on site (for RTP directly appointed contractors)	RTP	RTP responsible for work conducted in RTP space(s).

Materials Acquisitions, Management and Waste		Section 16
Purchasing of hazardous materials (and OPeRA workflow)	Department / RTP	RTP to fully manage requisitions raised by RTP staff, i. e. financial approval and also the Top-tier.
Storage of Materials	RTP / Department	Department to temporarily store if delivered to Physics Stores prior to RTPs collection. RTPs to ensure storage is suitable for materials coming into the Department/RTP.
Chemical Inventory Management	RTP	Where applicable, the RTPs will be responsible for maintaining their own chemical inventory on LabCup, barcoding and ensuring that there are appropriate storage arrangements.



Waste Collection and Disposal	Department Spectroscopy RTP	Department to manage waste and chemical disposal. RTPs responsible for providing all relevant H&S information to the Department in relation to anything hazardous to permit its safe disposal. Spectroscopy RTP to bring waste to Physics department. Chemical disposal as above.
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Asset Recording of Laboratory Equipment		Section 17
Asset registration for other reasons (e.g. financial/research grant need, FP19 assets register)	Department / RTP	RTP and Department each recording their assets.

Access Equipment		Section 17.1
Adding to local (Physics) register	RTP	RTP responsible for recording any access equipment. RTP to inform Department about new access equipment.
Periodic checks, e.g. ladder checks	RTP / Department	RTP responsible for pre-use check. Dept responsible for annual ladder inspection.
Quarantining failed items	Department/ RTP	Department to inform RTP of any failed annual check. Department to quarantine failed items. If an RTP's asset, then any repair or replacement costs incurred will fall to the RTPs.

Statutory Inspections and Testing		Section 17.2
Asset Tagging of Items subject to Statutory Inspection/Test (pressure vessels/systems, lifting equipment/lifting accessories, local exhaust ventilation (LEV)). Including registration onto Green 2 portal (lifting equipment)	RTP / Department	RTP to contact Department or H&S Compliance Officer to asset tag new items (items are registered with the prefix PF). RTP Manager to inform the Department of a new asset requiring statutory testing.



Adding/removing/relocating items as above to statutory test register	RTP / Department	RTP to inform DPoC. DPoC to update register via SIRE .
Completion of statutory examination and testing of pressure systems and lifting equipment/lifting accessories	Estates / Department / RTP	Lifting equipment is inspected by external contractor appointed by Estates Compliance team. XRD responsible for statutory inspection of gas manifold PF00000097 in MAS 3.12.
Checking records on Green 2 portal (equipment subject to LOLER)	Department	DPoC responsible for providing updates/records to RTPs.
Taking items out of use/quarantining following Statutory inspection (equipment subject to LOLER) and updating Green 2 portal with the details	Department / RTP	DPoC to inform relevant RTP Manager if item has failed its statutory test. RTP is responsible for managing its quarantine.

LEV		Section 17.2.1
LEV use, including pre-use checks and fault reporting	RTP	RTP Managers responsible for the training of individuals in the safe use of LEV, how to complete the pre-use checks, and for fault reporting. RTP Managers responsible for ensuring that pre-use checks are being done.
LEV monthly checks	Department	Department to carry out smoke tests.
Assurance that pre-use and monthly checks are being carried out.	RTP	RTPs responsible; backed up by inspections by Health and Safety Services.
LEV Statutory Thorough Examination and Testing TEXT	Estates	Statutory testing is carried out by contractors. Department to inform RTP Managers when this work will be conducted as/when applicable.
Taking LEV out of use if it has failed any of the checks/statutory examination and tests ¹	Department/ RTP	Department to inform the RTP as soon as reasonably practicable of any item that has failed a statutory test, if RTP not informed directly.

¹ See also Statutory Testing Section



		RTP Managers to ensure LEV is not used until such a time that the work to repair the LEV has been carried out. RTPs to be responsible also for any repairs required and for making these arrangements.
Changing/disposal of filters	N/A	RTP Manager is responsible for exchange of filter for recirculating fume cupboard in their space and for its safe disposal via waste stream in place.

Statutory consumables		Section 17.2.3
Replacement of Regulators, Flashback Arresters, hoses, etc (upon expiry)	RTP / Department	Department will remind the RTPs about gas regulators nearing the expiry date. RTP is responsible for cost of replacement and updating asset register.
Adding/Removing/Exchanging of gas cylinders, attaching regulators, or operating gas systems	RTP	RTPs to manage and ensure staff are trained.
Adding/Removing Fire Extinguisher	RTP / Estates	RTPs to identify any alternative provision to fire extinguishers through risk assessments and make suitable arrangements made with Estates.

Portable Appliance Testing		Section 17.3.2
Completion of Portable Appliance Testing, coordination of work with external contractor (if required) and arranging access to all areas	Department	The Department will schedule in PAT testing and liaise with the RTPs for access.
Quarantining and seeking repair/replacement of any items that have failed their PAT (and which have a failure sticker applied)	Department/ RTPs	Department to inform RTP of any items that have failed PAT. RTPs are responsible for the replacement or repair of RTP assets which have failed PAT.



Servicing/replacement of gas detection & fire suppression systems installed to a space		Section 17.4.2
Hard wired/building fixed Oxygen Depletion Monitors - not stand-alone devices	Chemistry / Estates / RTP	<p>Oxygen depletion monitoring system in Materials and Analytical Sciences Building is serviced via Chemistry Technical Support Team. Estates responsible for hard-wired system in Millburn House.</p> <p>Department to liaise with RTP immediately regarding any works or any problems detected with the gas detection system post being informed by the responsible person of fault.</p>
Stand-alone oxygen depletion monitors	Photoemission RTP	Where installed, the RTP Manager is responsible for calibration and maintenance including the replacement when required.
Fire Suppression System	Department / Estates	Cylinder to be replaced by Estates upon discharge or age. (Applicable for fume hoods in MASB.)



Legionella & Water Quality		Section 18
Informing of requirements from LRA (Legionella Risk Assessment)	Estates	Department to inform Estates of spaces occupied by RTPs. Information needs to get to those that may have to flush what are considered 'infrequently used' outlets
Flushing of little-used outlets	Department/RTP	In G71 – flushing is completed by Department. In MAS 2.11 by RTP Manager.
Monthly temperature	Estates	Estates may liaise with Department to arrange. Department to inform RTPs.
Advising on changes to water usage	RTP / Department	RTPs inform the Departmental Point of Contact (DPoC) who will inform the Water Hygiene Manager in Estates.
Informing Estates of changes required to infrastructure (request to alter the water system)	RTP / Department	RTP would inform the DPoC and agree who will inform Estates. Changes to be conducted following university procedures via Estates.